Annual Performance Review Guidelines

Purpose

The purpose of the annual performance review process is to both recognize employees’ accomplishments and provide feedback on opportunities for improvement. This is also the ideal time to discuss goal setting for the upcoming year, as well as identify professional development opportunities.

Annual Performance Review Period and Review Process Deadline

- The review period runs from April 1 through March 31.
- The review process should be completed by May 15. (a department can set an earlier deadline for completion, if needed)

Annual Performance Review Recipients

All regular* (full-time and part-time) staff employees, with the exception of employees in an official introductory period as of March 31, should receive an annual performance review conducted by their supervisor of record as of March 31.

All regular* (full-time and part-time) staff employees who are not in an official introductory period as of March 31 and who move to a different position with a different supervisor between April 1 and May 15 in the new review period will have their annual review conducted by their supervisor of record as of March 31.

If there is no current supervisor to conduct the review, then the next-level supervisor should conduct the annual review.

*It is not necessary to conduct reviews on Temporary employees.

NOTE: A supervisor is strongly encouraged to conduct a goal planning session for the upcoming performance year.

Annual Performance Review Resources

Visit the Performance Management section of the Human Resources website for access to the review form, instructions on the review process, and other helpful performance review resources. Questions about the annual review process can be directed to the assigned HR Business Partner.

Annual Performance Review Form

The review form includes the following components:

Job Duties: The review form includes an employee’s essential Job Duties as written on their individual position description. The rating for the employee’s performance of these specific job duties will generally account for 80% of the employee’s overall rating.

NOTE: Supervisors should ensure that the employee’s position description in the HR system, PageUp, is current and accurately defines the job duties and responsibilities. The duties should be identified as either Essential or Marginal and assigned a percentage of time to represent the percentage effort for those duties.
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Behavioral Expectations: The review form includes six Behavioral Expectations, which are key competencies an employee needs to demonstrate to successfully perform their job. A comprehensive list of examples of what specific behaviors support these competencies can be found on the HR website at https://hr.ua.edu/employee-resources/performance-management/behavioral.

Goals and Objectives: The review form includes a section for the supervisor to create departmental goals and to document the goals and objectives for the employee, if applicable.

Employee Feedback: The review form includes a section for the employee to comment on their level of performance in performing their job duties and demonstrating the behavioral expectations.

Rating Scale: The review form offers a new five-tier rating scale (Exceeds Expectations, Partially Exceeds Expectations, Meets Expectations, Partially Meets Expectations, Does Not Meet Expectations). For more information, please review the performance review rating guidelines on the HR website at https://hr.ua.edu/employee-resources/performance-management/scale.

Review Process

Vice Presidents, Deans, Directors, and Department Heads should ensure annual performance reviews are completed for each eligible employee no later than May 15. Leadership responsibilities are as follows:

1. Immediate supervisor:
   - Notifies their employees if a self-assessment needs to be completed and provides a deadline for submission.
   - Completes the review form by rating each essential job responsibility and each behavioral expectation and adds comments in each section; Provides justification and examples in the comments to support any ratings that are not “Meet Expectations”; May comment on the goals/objectives/projects assigned for the performance year and indicates the status of each of them; May add attachments in each section; Adds comments in the Supervisor Overall Comments section.
   - The system will automatically calculate the Overall Rating based on the rating for each responsibility, the percentage effort assigned to each responsibility, and then the weighting of 80% for the Duties section and 20% for the Behavioral Expectations section. Should there be extenuating circumstances such as disciplinary action taken during the review year which needs to be factored into the overall rating, please consult with the assigned HR Business Partner. In general terms, an employee should not receive an overall rating of Exceeds Expectations if they have at least one rating of Partially Meets or Does Not Meet Expectations.
   - Discusses with the next-level supervisor any reviews with an overall rating of Exceeds Expectations, Partially Meets Expectations or Does Not Meet Expectations to ensure agreement prior to sending it through the approval process to limit the number of changes to be made.
   - Compares the ratings for their other direct reports to ensure a consistent approach in applying the job duty and behavioral expectations rating standards.
   - Submits the review to the next-level supervisor for approval.
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1. Contacts their assigned HR Business Partner regarding an employee who receives an overall rating of Does Not Meet Expectations or Partially Meet Expectations. A Performance Improvement Plan should be implemented for an employee with an overall rating of Does Not Meet Expectations and is recommended if the overall rating is Partially Meets Expectations. The HR Business Partner will guide the supervisor through this process.

2. Next level supervisor:
   • Ensures any previous discussions on performance are reflected in the review or sends back to the supervisor for necessary changes.
   • Adds comments and attachments, if desired.
   • Compares the ratings for all reviews in which they are listed as a next-level supervisor to ensure that there is a consistent approach in applying the job duty and behavioral expectations standards between their direct reports who are supervisors.
   • If no Additional Approver is needed, signs off on the annual review.
   • If an Additional Approver is needed:
     o assigns one after any needed changes to the review have been made by the supervisor and comments and attachments have been added by the next-level supervisor;
     o Signs off on the review upon receipt of email notification of approval by the Additional Approver.

3. Additional Approver (if assigned)
   • Follows up with the next-level supervisor with questions or concerns.
   • If the review is sent back to the supervisor for edits, waits for email notification once the revised review is ready for approval.
   • Approves the review.

4. Immediate supervisor:
   • Discusses the review, and the status of the goals/objectives/projects assigned for the review period being evaluated, if applicable, with the employee in a face-to-face, or when necessary, virtual meeting;
   • May also set goals and objectives for the upcoming year in the annual review meeting, or in a subsequent goal-setting meeting.

5. Employee:
   • Comments on the review and acknowledges the form verifying the review has been discussed. The employee’s acknowledgement does not necessarily indicate agreement with the review.

NOTE: Should an employee not acknowledge their review by the May 15 deadline, the review will be considered received and acknowledged, and become a part of the employee’s UA personnel file.
Form Distribution

- A copy of the annual review, and any related documents attached to the review, will be placed in the employee’s UA personnel file.
- Supervisors and employees can access the completed annual review in the online performance review system.
- Electronic and hard copies of performance reviews should always be stored in a secure manner.